

1. AUTHORITY

The Government Information Technology Agency (GITA) shall develop, implement and maintain a coordinated statewide plan for information technology (IT) (A.R.S. § 41-3504(A (1))) including the formulation of policies to effectuate the purposes of the agency (A.R.S. § 41-3504(A (13))) and the adoption of statewide technical, coordination, and security standards (A.R.S. § 41-3504(A (1(a))))).

2. PURPOSE

To establish IT planning standards in support of the *Planning Application for Reporting Information Technology Strategy (PARIS)*, web based application.

3. SCOPE

This applies to all budget units. Budget unit is defined as a department, commission, board, institution or other agency of the state organization receiving, expending or disbursing state funds or incurring obligations of the state including the board of regents and the state board of directors for community colleges but excluding the universities under the jurisdiction of the board of regents and the community colleges under their respective jurisdictions and the legislative or judicial branches.

A.R.S. § 41-3501(2).

The Budget Unit Chief Executive Officer (CEO), working in conjunction with the Budget Unit Chief Information Officer (CIO), shall be responsible for ensuring the effective implementation of Statewide Information Technology Policies, Standards, and Procedures (PSPs) within each budget unit.

4. STANDARD

This standard establishes that each budget unit shall input and submit an IT Plan annually utilizing the Planning Application for Reporting Information Technology Strategy (PARIS), web-based application. Planning elements identified in the PARIS application are as follows:

4.1 TRENDS

Each budget unit shall identify technology trends, strengths, opportunities and successes, which may positively influence the IT function's ability to support the business of the budget unit. This may include new and innovative solutions that address the challenges and opportunities in the current environment. This information can be collected during the SWOT analysis. (see page 13-19 in the publication Managing for Results: **1998**

Strategic Planning and Performance Measurement Handbook. Access <http://www.state.az.us/ospb>.

4.2 ISSUES

IT issues are those things that negatively influence the budget unit's IT function to support the business of the budget unit. These issues should reflect significant obstacles, problems, weakness or threats within your current infrastructure or environment. This information can be collected during the SWOT analysis.

4.3 MISSION STATEMENT

This statement is primarily focused on the budget-unit-level IT mission. The mission statement should provide a brief, comprehensive statement of the purpose for IT in the budget unit.

4.4 VISION

The vision should provide a compelling, conceptual image of the future for IT in the budget unit. It should not be predication or projection, but a description of what the future will be if guided by the organization. The vision should be stated in business terms, not technical terms.

4.5 AGENCY GOALS

Goals were developed as part of the Master List/Strategic Plan process. Please provide your budget unit (not program/ subprogram) business goals. You will be asked if your IT goals support any of your budget unit goals.

4.6 IT GOALS

IT goals are statements about the desired end result of using IT in targeted areas in the next two to three years. The IT goals should support budget unit business goals and they should also follow the overall IT direction for the State (Statewide IT Strategic Plan). Most importantly, the goals should describe the impact IT is to have on customers and/or stakeholders.

Example of IT Goals:

- Use information technology to help commuters drive safely to and from work.
- Provide citizens with on-line information to make better selections for health care providers.
- Improve the State's procurement process by integrating systems so that vendors get paid on time.

4.7 OBJECTIVES

These are short term, specific and measurable achievements necessary for accomplishing IT goals. Additionally, objectives should measure how IT is impacting customers and/or stakeholders.

Examples of IT Objectives:

- By implementing the freeway management system, the urban freeway death rate will be reduced by 10% in FY2003.
- By giving citizens on-line access to the Physician censure database, complaints to the board about doctors will be reduced by 3% at FY2002 year end.
- By integrating the State procurement system with the accounting system, only 5% of monthly payments will be late.

4.8 PERFORMANCE MEASURES

These are used to assess results in meeting objectives. At least one performance measure is required for each objective and recommended that one performance measure be an “outcome” measure. There are five categories of performance measures in Arizona’s planning model. Each category answers a different question and often the measurements must be used in combinations to assess a budget unit’s performance in reaching its objectives. The five categories are described below:

4.8.1 **Inputs** – measures resources used to reach an objective. Inputs include labor, materials, equipment, supplies, etc. They can also reflect demand factors, such as number of customers for particular service.

Examples of input measures include:

- Number of commuters in the metropolitan Phoenix area.
- Amount of programming hours to place the physician database online.
- Dollar amount expended to buy the necessary middleware for integrating the procurement and accounting systems.

4.8.2 **Outputs** – measures are useful in identifying the amounts and types of services produced. They measure the quantity of production, but do not reflect the quality.

Examples of output measures include:

- Number of warnings issued on the freeway advisory signs per month.
- Number of times that citizens searched the database per day.
- Number of checks processed per hour.

- 4.8.3 **Outcomes** – measures reflect the impact or benefit of the program. Policy makers are generally most interested in outcomes.

Examples include:

- Reducing the number of traffic accident per quarter.
- Percent decrease in consumer complaints about doctors per month.
- Percent increase in agencies receiving early payment discounts per year.

- 4.8.4 **Efficiency** – measures are often referred to as productivity measures and are often presented as ratios.

Examples of efficiency measures include:

- Number of commuters involved in a traffic accident to those not involved in any accident per year.
- Cost to the State, per transaction, for the online physician database.
- Number of warrants produced per day.

- 4.8.5 **Quality** – measures reflect the effectiveness in meeting customer and stakeholder expectations. It is often expressed in terms of reliability, accuracy, courtesy, responsiveness, and completeness.

Examples of quality measures include:

- Number of warnings without errors that were broadcast on the freeway advisory signs each fiscal year.
- Percent of good and excellent ratings on a customer satisfaction survey for the online physician database.
- Number of complaints associated with the procurement or accounting systems being down.

4.9 PLAN EVALUATION

GITA will use the following criteria below for evaluation and acceptance of the budget unit's IT plan. If the plan is found not to fully articulate the budget unit's IT direction, GITA will be in communication with the budget unit contact to further clarify its IT direction.

- 4.9.1. **Mission** – Does it answer the following?

- Who you are
- What you do
- For whom you do it
- Why it's important

- Does it support your IT vision and the budget unit's business direction?
- 4.9.2. **Vision** – The vision statement should be:
- A clear picture of the future
 - Supportive of the budget unit's business vision
- 4.9.3. **Goals** – Does the goal support at least one of the following:
- Does it support the budget unit IT vision and mission?
 - Does it deal with just one issue?
 - Is it clear about what you want to accomplish?
 - Is it stated in business terms? (i.e., talks about how it will help the budget unit business and not about IT implementation)
 - A budget unit business goal?
 - A Statewide IT initiative?
- 4.9.4. **Objectives**
- Is there at least one objective for each IT goal?
 - Does the objective support the IT goal?
 - Does it represent an intermediate achievement?
 - Does it specify a result rather than an activity?
 - Is it quantifiable?
 - Does it provide a specific time frame?
- 4.9.5. **Performance Measures**
- Does the performance measure relate to the objective it represents?
 - Is the performance measure quantifiable?
 - Is there a specific time frame, when applicable, for taking the measurement?
 - Taken together will the performance measures accurately reflect key results?
 - Did you set targets for your performance measures?
- 4.9.6. **Statewide Performance Measures**
- Did you set targets for the statewide performance measures applicable to your budget unit?
- 4.9.7. **Additional Factors For Evaluation**
- Does your plan reflect the depth and breadth of your budget unit? (e.g., one goal, objective and performance measure probably won't be enough for a budget unit with IT expenditure of over \$1 million).
 - Does your plan address the large IT initiatives in your budget unit?
 - Does your plan address the large statewide IT initiatives in which your budget unit is participating?

- Does your plan address those areas in which GITA requested that you cover?

5. DEFINITIONS AND ABBREVIATIONS

Refer to the PSP Glossary of Terms located on the GITA website at http://www.azgita.gov/policies_standards/ for definitions and abbreviations.

6. REFERENCES

- 6.1. A. R. S. § 41-621 et seq., "Purchase of Insurance; coverage; limitations, exclusions; definitions."
- 6.2. A. R. S. § 41-1335 ((A (6 & 7))), "State Agency Information."
- 6.3. A. R. S. § 41-1339 (A), "Depository of State Archives."
- 6.4. A. R. S. § 41-1461, "Definitions."
- 6.5. A. R. S. § 41-1463, "Discrimination; unlawful practices; definition."
- 6.6. A. R. S. § 41-1492 et seq., "Prohibition of Discrimination by Public Entities."
- 6.7. A. R. S. § 41-2501 et seq., "Arizona Procurement Codes, Applicability."
- 6.8. A. R. S. § 41-3501, "Definitions."
- 6.9. A. R. S. § 41-3504, "Powers and Duties of the Agency."
- 6.10. A. R. S. § 41-3521, "Information Technology Authorization Committee; members; terms; duties; compensation; definition."
- 6.11. A. R. S. § 44-7041, "Governmental Electronic Records."
- 6.12. Arizona Administrative Code, Title 2, Chapter 7, "Department of Administration Finance Division, Purchasing Office."
- 6.13. Arizona Administrative Code, Title 2, Chapter 10, "Department of Administration Risk Management Section."
- 6.14. Arizona Administrative Code, Title 2, Chapter 18, "Government Information Technology Agency."
- 6.15. Statewide Policy P100, Information Technology.
- 6.16. Statewide Policy P136, IT Planning.
- 6.17. Statewide Policy P800, IT Security.

7. ATTACHMENTS

None.